



PTO/SB/08ab (07-06)

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	3	Application Number	09/961131-Conf. #4504
				Filing Date	September 21, 2001
				First Named Inventor	David J. Gourley
				Art Unit	2162
				Examiner Name	C. Y. T. Truong
				Attorney Docket Number	0109878.00124US1

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Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Examiner Signature		Date Considered	2/18/08
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Substitute for form 1449A/B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number	09/961131-Conf. #4504
		Filing Date	September 21, 2001
		First Named Inventor	David J. Gourley
		Art Unit	2162
		Examiner Name	C. Y. T. Truong
Sheet <b>2</b> of <b>3</b>	Attorney Docket Number		0109878.00124US1

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Examiner Signature 5566610		<i>Can...</i>		Date Considered	218708

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		Attorney/Agent Number	0109878.00124US1
Sheet	3	of	3

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.88(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. \* Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

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Examiner Signature	<i>Canary</i>	Date Considered	2/15/08
5566610			

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STATEMENT BY APPLICANT**  
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Application Number	09961131
Filing Date	2001-09-21
First Named Inventor	Adam J. FERRARI
Art Unit	2162
Examiner Name	C. Y. T. Truong
Attorney Docket Number	0109878.00124US1

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Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	Kind Code <sup>4</sup>	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T <sup>5</sup>
	1	0676705	EP		1995-10-11	US West Technologies, Inc.		<input type="checkbox"/>
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**NON-PATENT LITERATURE DOCUMENTS**

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11	European Search Authority, European Search Report for European Patent Application No. 01945997.3, dated May 23, 2007, 6 pages	<input type="checkbox"/>
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14	GIL et al., "A Visual Interface and Navigator for the P/FDM Object Database", Department of Computing Science, University of Aberdeen, IEEE, pp. 54-63 (1999)	<input type="checkbox"/>
15	HAN et al., "Join Index Hierarchy: An Indexing Structure For Efficient Navigation In Object-Oriented Databases", IEEE Transactions on Knowledge and Data Engineering, Vol. 11, No. 2, pp. 321-337, March/April 1999	<input type="checkbox"/>
16	HEARST, M. et al., "Integrating Browsing & Search Relevance Feedback", SIMS 202, UC Berkeley, SIMS, Fall 1999, 2 pages	<input type="checkbox"/>
17	HEARST, M. "Chapter 10: User Interfaces and Visualization", Modern Information Retrieval, Yates and Ribeiro-Neto (1999) pp. 257-340	<input type="checkbox"/>
18	HEARST, M. et al., "Using MetaData in Search: Combining Browsing and Search", 39 slides, <a href="http://www2.sims.berkeley.edu/courses/is202/f98/Lecture27/sld001.htm">http://www2.sims.berkeley.edu/courses/is202/f98/Lecture27/sld001.htm</a>	<input type="checkbox"/>
19	<a href="http://www.searchtools.com/tools/endeca.html">http://www.searchtools.com/tools/endeca.html</a> , Search Tools Product Report, "Endeca Faceted Metadata Search and Browse", 2 pages, updated 10 July 2003	<input type="checkbox"/>
20	HUA et al., "Object Skeletons: An Efficient Navigation Structure for Object-Oriented Database Systems", IEEE, pp. 508-517 (1994)	<input type="checkbox"/>
21	International Searching Authority, International Search Report for PCT/03/31770, mailed June 29, 2004	<input type="checkbox"/>

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STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	09961131
Filing Date	2001-09-21
First Named Inventor	Adam J. FERRARI
Art Unit	2162
Examiner Name	C. Y. T. Truong
Attorney Docket Number	0109878.00124US1

22	International Searching Authority, International Search Report for PCT/US2006/043538, mailed 3/26/07, 12 pages	<input type="checkbox"/>
23	KUMMAMURU et al., "A Hierarchical Monothetic Document Clustering Algorithm for Summarization and Browsing Search Results", WWW2004, pp. 658-665, May 17-22, 2004	<input type="checkbox"/>
24	MCENEANEY, John E., "Visualizing and Assessing Navigation in Hypertext", Hypertext 99, Darmstadt Germany, pp. 61-70 (1999)	<input type="checkbox"/>
25	MILLER, Renee J., "Using Schematically Heterogeneous Structures", Department of Computer and Information Science, Ohio State University, 1998, pp. 189-200	<input type="checkbox"/>
26	MILLS, J., "The Problem of arrangement in a Library", A Modern Outline of Library Classification", Chapman & Hall Ltd, pp. 1-8, 1960	<input type="checkbox"/>
27	Pollitt A.S., "Intelligent Interfaces to online Databases", Expert Systems for Information Management, Vol. 3, No. 1, pp. 49-69, 1990	<input type="checkbox"/>
28	POLLITT et al., "Faceted-Classification as Pre-Coordinated Subject Indexing: Multi-Dimensional Searching for OPAC Users", Oslo College, 6-7 May 1998	<input type="checkbox"/>
29	POLLITT et al., "MenUse for Medicine: End-User Browsing and Searching of MEDLINE via the MeSH Thesaurus", Int. Forum Inf. and Docum., pp. 547-573, 1988	<input type="checkbox"/>
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31	POLLITT et al., "Multilingual access to document databases", CAIS/ACSI '93 Information as a Global Commodity - Communication, Processing and Use, Proceedings of the 21st Annual Conference of the Canadian Association for Information Science, pp. 128-140, Antigonish, Nova Scotia Canada, July 1993	<input type="checkbox"/>
32	POLLITT, A. S. et al., "View-based searching systems - a new paradigm for information retrieval based on faceted classification and indexing using mutually constraining knowledge-based views", The Interface Design, 6 pages	<input type="checkbox"/>

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Attorney Docket Number	0109878.00124US1

33	POLLITT, A.S., "A rule-based system as an intermediary for searching cancer therapy literature on MEDLINE", Intelligent Information Systems: Progress and Prospects, pp. 82-126, 1986	<input type="checkbox"/>
34	POLLITT, A.S., "An Expert Systems Approach to Document Retrieval, A thesis submitted to the Council for National Academic Awards in partial fulfillment of the requirements for the degree Doctor of Philosophy", May 1986	<input type="checkbox"/>
35	POLLITT, A.S., "Expert Systems and the Information Intermediary: Tackling Some of the Problems of Naive End-User Search Specification and Formulation", Intelligent Information Systems for the Information Society, pp. 100-108, 1986	<input type="checkbox"/>
36	POLLITT, A.S., "Information Storage and Retrieval Systems, Origin, Development and Applications, Ellis Horwood Books in Information Technology, 1989	<input type="checkbox"/>
37	POLLITT, A.S., "Reducing complexity by rejecting the consultation model as a basis for the design of expert systems", Expert Systems, Vol. 3, No. 4, pp. 234-238, October 1986	<input type="checkbox"/>
38	POLLITT, A.S., "Taking a different view", British Library research, Library Technology, Vol. 1, Nov. 1, 1996	<input type="checkbox"/>
39	POLLITT, A.S., "The key role of classification and indexing in view-based searching", Centre for Database Access Research, University of Huddersfield, UK, Abstract, 8 pages	<input type="checkbox"/>
40	POLLITT, Example from EMBASE entitled "Screen Shots from View-based searching with HIBROWSE", (1998)	<input type="checkbox"/>
41	POLLITT, excerpt from "Prospects for using Dewey Classification in a View-based Searching OPAC Dewey Decimal Classification: Possibilities in View-based Searching OPAC", (1998)	<input type="checkbox"/>
42	POLLITT, S., "CanSearch: An Expert Systems Approach to Document Retrieval", Information Processing & Management, Vol. 23, No. 2, pp. 119-138, (1987)	<input type="checkbox"/>
43	PRISS, U. et al., "Utilizing Faceted Structures for Information Systems Design", School of Library and Information Science, Indiana University Bloomington, pp. 1-12	<input type="checkbox"/>

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44	RAMASWAMI et al., "Navigating a Protection-Engineering Data Base", IEEE, pp. 27-32, April 1989	<input type="checkbox"/>
45	Screenshots from "View-based searching with HIBROWSE", <a href="http://www.jbi.hio.no/bibin/kurs/korg98/oslo2.ppt">http://www.jbi.hio.no/bibin/kurs/korg98/oslo2.ppt</a> , 10 pages	<input type="checkbox"/>
46	TREGLOWN, M. et al., "HIBROWSE for Bibliographic Databases. A study of the application of usability techniques in view-based searching", British Library Research and Innovation Report 52, The University of Huddersfield, April 1997	<input type="checkbox"/>
47	TU et al., "Agent Technology for Website Browsing and Navigation", Proceedings of the 32nd Hawaii International Conference on Systems Sciences", IEEE, pp. 1-10, 1999	<input type="checkbox"/>
48	TURINE et al., "A Navigation-Oriented Hypertext Model Based on Statecharts", Hypertext 97, Southampton UK, 1997	<input type="checkbox"/>
49	VELEZ et al., "Fast and Effective Query Refinement", SIGIR 1997, pgs. 6-15	<input type="checkbox"/>
50		<input type="checkbox"/>

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First Named Inventor	Adam J. FERRARI
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Examiner Name	C. Y. T. Truong
Attorney Docket Number	0109878.00124US1

1	Weiland et al., "A graphical query interface based on aggregation/generalization hierarchies," Information systems, Vol. 18, No.4, pp. 215-232 (1993)	<input type="checkbox"/>
2	XIONG et al., "Taper: A Two-Step Approach for All-Strong-Pairs Correlation Query in Large Databases", IEEE Transactions on Knowledge and Data Engineering, Vol. 18, No. 4, April 2006, pgs. 493-508	<input type="checkbox"/>
3	YOO et al., "Towards A Relationship Navigation Analysis", Proceedings of the 32nd Hawaii International Conference on System Sciences", IEEE , pp.1-10, (2000)	<input type="checkbox"/>

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			Application Number	09/961131-Conf. #4504	
			Filing Date	September 21, 2001	
			First Named Inventor	Adam J. FERRARI	
			Art Unit	N/A <i>2161</i>	
			Examiner Name	Not Yet Assigned <i>Carmy TAYNG</i>	
Sheet	1	of	1	Attorney Docket Number	0109878.00124US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
<i>CL</i>	AA*	US-6,763,349-B1	07-13-2004	Sacco	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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INFORMATION DISCLOSURE  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number  
109878.124Application Number  
09/961,131Applicant  
Ferrari, et al.

Filing Date

September 21, 2001

Group Art Unit

2179

Sheet

1

OF

1

## U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
Cy	6,360,227 B1	03/19/2002	Aggarwal et al.	707	102	01/29/1999
Cy	6,571,282 B1	05/27/2003	Bowman-Amuah	709	219	08/31/1999

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109878.124Application Number  
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Ferrari, et al.Filing Date  
September 21, 2001Group Art Unit  
2773

Sheet 1 OF 1

## U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CJ	US2002/0083039	6/27/02	Ferrari, et al.	707	1	10/31/02
	US2002/0095405	7/18/02	Fujiwara	707	3	1/18/01
	6,226,745	5/1/01	Wiederhold	713	200	
	6,466,918	10/15/02	Spiegel, et al	705	27	
	6,266,649	7/24/01	Linden, et al.	705	26	

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CJ	0 827 063 A1	3/4/98	EP				
	1 050 830 A2	11/8/00	EP				

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SHEET	1	OF	1
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DOCKET NUMBER 109878.124	APPLICATION NUMBER 09/961,131
APPLICANT Ferrari et al.	
FILING DATE September 21, 2001	GROUP ART UNIT 2179 2162

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CU	5,418,948	5/1995	Turtle	395	600	
	5,768,578	2/1995	Kirk et al.	395	611	
	6,167,397	12/2000	Jacobson et al.	707	5	
	6,260,008	7/2001	Sanfilippo	704	9	
	6,356,899	3/2002	Chakrabarti et al.	707	5	
	6,424,983	7/2002	Schabes et al.	707	533	
	6,480,843	11/2002	Li	707	5	
	6,483,523	11/2002	Feng	345	745	
	6,035,294	3/2000	Fish	707	2	

Foreign Patent Documents							
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						YES	NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
CU	A1	PriceSCAN.com, Your Unbiased Guide to the Lowest Price on Books, Computers, Electronic..., Copyright 1997-1999, < <a href="http://web.archive.org/web/19991117123352/http://www.pricescan.com/">http://web.archive.org/web/19991117123352/http://www.pricescan.com/</a> >, pages 1-8

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		Applicant <b>Ferrari, et al.</b>	
		Filing Date <b>September 21, 2001</b>	Group Art Unit <b>2179 2162</b>
Sheet <b>1</b>	OF <b>1</b>		

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

Foreign Patent Documents							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
<i>cy</i>	WO 01/67300	Sep. 13, 2001	PCT				

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)	
A1	Pollitt, et al. "View-Based Searching Systems - Progress Towards Effective Disintermediation" <i>Online Information Meeting Proceedings</i> , (1996) pp. 433-445

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109878.124Application Number  
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Applicant

Ferrari, et al.

Filing Date

September 21, 2001

Group Art Unit

2773 216

Sheet 1 OF 1

## U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	PUB. DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
Cy	us 2001/0044758	Nov. 22, 2001	Talib, et al.	705	27	March 30, 2001
	US 2001/0044837	Nov. 22, 2001	Talib, et al.	709	219	March 30, 2001
	US 2001/0047353	Nov., 29, 2001	Talib, et al.	707	3	March 30, 2001
	US 2001/0049677	Dec. 6, 2001	Talib, et al.	707	3	March 30, 2001
	US 2001/0049674	Dec. 6, 2001	Talib, et al.	707	1	March 30, 2001

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				Filing Date September 21, 2001	
Sheet	1	OF	1	Group Art Unit 2773 2162	

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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	5,983,219	Nov. 9, 1999	Danish, et al.	707	3	

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Sheet 1 OF 1

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Ferrari, et al.Filing Date  
September 21, 2001Group Art Unit  
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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
Cej	5,644,740	7/1/97	Kiuchi	395	357	
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	WO 00/36529	6/22/00	PCT				
	0 694 829 A1	1/31/96	EP				
	0 694 829 B1	5/2/02	EP				

## Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)

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	A2	Pedersen, G. S., "A Browser For Bibliographic Information Retrieval Based On An Application Of Lattice Theory" <i>Proc. Of the Ann. Int. SCM SIGIR Conference on Res. And Dev. In Information Retrieval</i> , (1993), pp. 270-279
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	A4	Allen, R. B., "Two Digital Library Interfaces That Exploit Hierarchical Structure" <i>Electronic Publishing</i> (1995) 8 pages
	A5	Allen, R. B., "Retrieval From Facet Spaces" <i>Electronic Publishing</i> (1995), Vol. 8(2&3), pp. 247-257
	A6	Agosti, m., et al. "Issues of Data Modelling in Information Retrieval" <i>Electronic Publishing</i> , (1991), Vol. 4(4) pp. 219-237

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		Filing Date September 21, 2001	Group Art Unit <del>2179</del> 2162
Sheet	1	OF	1

U.S. Patent Documents						
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	5,983,220	11/9/99	Schnitt	707	5	

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Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
CJ	A1	Pollitt, et al. "HIBROWSE For Bibliographic Databases" <i>Journal of Information Science</i> , (1994), Vol. 20 (6), pp. 413-426
CJ	A2	Baeza-Yates, et al., "New Approaches to Information Management: Attribute-Centric Data Systems" <i>Proceedings Seventh International Symposium on String Processing and Information Retrieval</i> , (2000), pp. 17-27

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**Complete if Known**

Application Number	09/961,131
Filing Date	September 21, 2001
First Named Inventor	Ferrari, et al.
Art Unit	2179 <i>2182 2162</i>
Examiner Name	CHUNG, Truc T. <i>Canary Tuning</i>
Attorney Docket Number	109878.124

Sheet	1	of	1
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**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2(If known)</sup>			
<i>cy</i>		4,879,648	11/7/1989	Cochran, et al.	
		5,206,949	4/27/1993	Cochran, et al.	
		5,768,581	6/16/1998	Cochran	
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		US 2004/0117366 A1	6/17/20/04	Ferrari, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2(If known)</sup>			
<i>cy</i>		EP 0 597 630 A1	5/18/1994	Conquest Software, Inc.	
		WO 03/027902 A1	4/3/2003	Endeca Technologies, Inc.	

Examiner Signature	<i>Canary</i>	Date Considered	2118708
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